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ABSTRACT

This document presents a comprehensive view of how graduate education is organized and administered in the United States and Canada. The policy statement acknowledges the differences in structure and organization of various programs but focuses attention on what needs to be done to foster good graduate education regardless of setting. It describes the graduate school as interacting and counseling widely across the institution. It calls for a clear and consistent advocacy by the graduate dean for the principles and ideals of graduate education. The role of the graduate school in the university is includes articulating a vision of excellence, providing quality control, providing a cross-university perspective, stressing the training of future college and university teachers, contributing to and enhancing undergraduate education, and supporting issues and constituencies critical to the success of graduate programs. Structural elements of graduate education are identified, including the governing board and administration, committed faculty, high quality students, a separate degree-granting graduate unit, and a graduate council. The relationship of the graduate school to research administration is considered, and a compendium of graduate school activities is described. Appendices include sample organizational charts and a scope of responsibility chart for graduate schools. (DB)

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ORGANIZATION AND ADMINISTRATION OF GRADUATE EDUCATION

TABLE OF CONTENTS

	Page
Introduction	1
Definitions	2
The Role of the Graduate School in the University	3
Articulate a Vision of Excellence for the Graduate Community	3
Provide Quality Control Over All Aspects of Graduate Education	3
Maintain Equity Across All Academic Disciplines	3
Define What Graduate Education Is and What It Is Not	3
Bring an Institution-wide Perspective to All Post-baccalaureate Endeavors	4
Provide a Cross-university Perspective	4
Enhance the Intellectual Community of Scholars Among Both Graduate Students and Faculty	4
Serve as an Advocate for Graduate Education	5
Emphasize the Institution-wide Importance of Training Future College and University Teachers	5
Develop Ways for Graduate Education to Contribute to and Enhance Undergraduate Education	5
Support and Further the Non-academic Interests of Graduate Students	6
Serve as an Advocate for Issues and Constituencies Critical to the Success of Graduate Programs	6
Structural Elements of Graduate Education	7
Governing Board and Administration Which Support Graduate Education	7
Degree-granting Units	7
Faculty Committed to Graduate Programs and Research	7
Students of High Quality	7
Chief Academic Officer for Graduate Education	7
Separate Degree-granting Graduate Unit	8
Graduate Program Director in Each Academic Unit	8
A Graduate Council	8

Graduate Student Representation 9
Relationship to Research Administration 9
A Compendium of Graduate School Activities 11
Program Content 11
Students 13
Faculty 20
Administrative Support 23
University-wide Activities 24
External Relations 26
Research Administration 28
Conclusions 30
Appendices
Sample Organizational Charts: The University 31
Sample Organizational Charts: The Graduate School 32
Scope of Responsibility of Graduate Schools 33

Foreword

This policy statement replaces an earlier document published by the Council of Graduate Schools in 1981. It has been expanded considerably, and presents a comprehensive view of how graduate education is organized and administered in the United States and Canada. The range of activities represented, and the array of structures developed to deal with them, present a formidable challenge when attempting to discuss broad concepts of good practice in the administration of graduate education.

This volume deals with that challenge in several ways. First, while acknowledging the differences in structure and organization of universities, it focuses attention on what needs to be done in order to foster good graduate education regardless of setting. Second, by recognizing that graduate education coexists, in almost all cases, with undergraduate and professional education, it defines a strong and central graduate school, one that interacts and counsels widely across the institution. Finally, in describing a graduate school that, in all its activities, serves the scholarly needs of the graduate students and faculty, it calls for clear and consistent advocacy on the part of the graduate dean for the principles and ideals of graduate education.

Jules B. LaPidus
President
Council of Graduate Schools
Summer 1990

Introduction

Graduate education in the United States and Canada has existed for over 100 years. It is the role of graduate education to explore and advance the limits of knowledge and to define the state of the art in every field. Its purpose is to serve society's needs in specific technical and professional ways, but also to serve the need for intellectual expansion. Graduate education is a major source of future intellectual leaders of society, and is thus an integral and necessary part of our educational system.

In the 1990s, graduate education is increasing in importance to society. More baccalaureate students are going on for graduate degrees, more employers are requiring advanced training of their employees, and more disciplines are becoming so specialized that additional study is essential to make a contribution to knowledge.

Graduate schools in the 1990s need to accommodate more part-time students, more working adults, more minorities and women, and more individuals who will not fit the traditional model of a full-time, residential student. There is more demand for off-campus programs, and programs geared to the needs of specific clienteles. Federal research funding, becoming more difficult to obtain, comes with many more strings attached in the form of accountability and oversight. Also, as tuition costs continue to rise, financial aid for graduate students grows increasingly important, and the percentage of that aid available in non-repayable grants rather than loans has decreased substantially.

In the face of these pressures, it is essential that graduate education maintain a strong presence and a place of prominence on college and university campuses if it is to fulfill its purpose of providing the future intellectual leaders of society. Not only must each institution which undertakes to offer graduate education be committed to the enterprise, but the graduate programs must be organized and administered in a way that makes their success possible.

This document contains a set of guidelines for good practice in the organization and administration of graduate education. Although institutional goals, structures, and traditions vary immensely, there are certain elements and principles that apply broadly and that make for graduate education of high quality.

Discussed in this document are the following major issues: the Role of the Graduate School in the University, the Critical Structural Elements of Graduate Education, the Relationship to Research Administration, and a Compendium of Graduate School Activities. Although there is considerable room for differences of opinion and institutional variation in much of this discussion, one assumption remains clear throughout: given the diversity and decentralized nature of our institutions of higher education, the needs and concerns of graduate education are best served when its administration is carried out through a central university office.

efinitions

There is considerable variation in the titles and reporting lines of the individuals charged with primary responsibility for graduate education in the U.S. and Canada: Dean of the Graduate School, Dean, Faculty of Graduate Studies and Research, Vice Chancellor for Research and Graduate Affairs, Director of Graduate Studies, and many more. Appendices A and B (Sample Organizational Charts) describe some of these titles and reporting lines in more detail. For purposes of this discussion, however, the title of "dean" or "graduate dean" will be used to refer to the chief academic officer for graduate education, and "graduate school" for that office or unit with responsibility for central university graduate affairs. Also, "university" will be used to refer to any institution of higher education. Unless otherwise noted, "graduate" here refers to all post-baccalaureate education in academic or scholarly fields, though in many institutions it will include all or some professional education as well, but only rarely the basic professional degree in medicine or law.

The Role of the Graduate School in the University

The primary purpose of the graduate school in a university is to define and support excellence in graduate education, and the research and scholarly activities associated with it. The graduate school, as part of the central administration of the university, is ideally suited to fulfill this purpose, which is reflected in a wide range of roles.

Articulate a Vision of Excellence for the Graduate Community

Academic excellence is a goal to which all universities aspire. The graduate school sets out a standard for intellectual excellence which pervades all discussions and decisions about faculty, students, curriculum, and research direction. In the face of strong pressures to attend to a variety of other concerns, each institution needs a unit that is always centered on academic issues, keeps the campus focused on its primary goal of excellence, and lays out a vision of how to get there.

Provide Quality Control Over All Aspects of Graduate Education

The graduate school establishes, through the faculty, a set of policies which define good practice in graduate programs, high quality in curriculum, excellence in student selection, and rigor in faculty appointments. Although it is necessary and expected that each academic program will have its own standards for excellence (curricular requirements, admission standards, etc.), the graduate school's role is to provide a mechanism whereby the faculty of the institutions define the minimum standards acceptable for post-baccalaureate work and to ensure that both the campus-wide and program-specific standards articulated and approved by the faculty are being observed.

Maintain Equity Across All Academic Disciplines

Because the name of the institution is on every graduate degree awarded, its reputation is also at stake in the awarding of that degree. By establishing minimum admission, credit-hour, grade point, and completion requirements, the graduate school ensures that there is some degree of equity in the standards for all master's and doctoral degrees. Thus, regardless of discipline, the institution is confident that all students meet generally accepted minimum standards for graduate education.

Define What Graduate Education Is and What It Is Not

Institutional administrators and curriculum committees are constantly faced with the question of how to define graduate education. One of the roles of the graduate school

is to define what work may lead to a graduate degree at that institution and what may not. Among the tasks involved are: clarifying the difference between credit-bearing graduate education and continuing or extended education, which may be non-credit or may not be applicable to a graduate degree; clarifying the difference between graduate and undergraduate education, especially in those senior-level courses which are often used for either; making a distinction between academic, research-oriented coursework and coursework intended to train individuals for a specific profession; and defining what coursework is required as an integral part of an academic program and what may be required for licensure or certification purposes. One type of coursework is not necessarily superior to another, but courses may be designed for different purposes and set at different levels and should be acknowledged as such.

Bring an Institution-wide Perspective to All Post-baccalaureate Endeavors

Since the graduate dean does not have administrative responsibility for any single department or school, he/she is in a unique position to represent the interests of the institution as a whole and to view departments from an institution-wide perspective. The graduate dean is a dean without portfolio, a political more than an administrative figure, and as such is the university's single best broker for overall issues of academic quality and the combined best interests of the intellectual community. He or she articulates the idea of a university as something more than a collection of unrelated departments and schools: as an organic, interdependent whole which is greater than the sum of its parts. Although articulating this vision is also clearly the role of the academic vice president and president, they are often heavily burdened with the more immediate pressures of budgeting, fund-raising, and external relations.

Provide a Cross-university Perspective

By their very nature, academic disciplines tend to become more and more specialized and more isolated from one another. All too often today's community of scholars consists of those individuals throughout the world working on a particular, very narrow research problem, rather than one's own colleagues across campus or down the hall. As disciplines continue to separate themselves through language barriers, physical isolation, dependence on external funding, and the natural evolution of knowledge, the graduate school becomes increasingly important as a place to bring faculty from diverse disciplines together and to foster multidisciplinary research and graduate programs.

Enhance the Intellectual Community of Scholars Among Both Graduate Students and Faculty

A related role of the graduate school is to promote intellectual communication among and between graduate students and faculty on a range of topics—certainly within each department's academic discipline, but in unfamiliar areas as well. All

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academics can benefit from being drawn out of their individual disciplines to a broader base of knowledge and from having their intellectual curiosity heightened by opportunities to exchange ideas with or hear about research by colleagues in other fields. In this sense, the graduate school has a broad responsibility for the general education of the faculty and graduate students.

Serve as an Advocate for Graduate Education

Research and graduate education are inextricably linked in most settings, since graduate students contribute significantly to the original research of the faculty, and that same research molds and defines the content of graduate coursework. The graduate school furthers research interests, but it also serves as a voice for graduate education when it comes into conflict with research.

In recent years, academic research—especially externally sponsored research—has become increasingly more responsive to its own priorities and interests and the priorities of its funding agencies, and less directed toward supporting graduate education. Specialized research centers, labs, and institutes are established separate from or with tenuous ties to academic departments, and graduate students are employed in those centers and institutes to complete specific research projects—often on extremely narrow topics that may not be related to the students' own academic interests.

The graduate school serves as an advocate for the intellectual development of the graduate student, promotes the involvement of graduate students and faculty intellectually, and ensures that faculty are serving their appropriate role as intellectual and professional mentors, not just employers. It reinforces the importance of sponsored research projects which contribute to the student's academic program, rather than detract from it.

Emphasize the Institution-wide Importance of Training Future College and University Teachers

In their drive to expand and improve research activities, universities can lose sight of the fact that they produce nearly all of the nation's college and university teachers. At the same time that it supports research, the graduate school keeps the university focused on the need to produce high quality teachers as an integral part of its mission. It attempts to ensure that graduate students receive adequate training in good teaching practices and mentoring by successful teachers as a part of their graduate experience. It also strives to create an environment where graduate student teaching is valued and rewarded and where future faculty members leave the institution well prepared for teaching.

Develop Ways for Graduate Education to Contribute to and Enhance Undergraduate Education

The graduate school shares responsibility for graduate teaching assistants with the academic units, and works with those units in training students to teach or assist in

undergraduate courses. Also, by creating links between the graduate and undergraduate programs in academic departments, the graduate school attempts to ensure that the results of graduate student and faculty research find their way into the undergraduate curriculum, and that there is a healthy interaction between faculty who teach in graduate and in undergraduate programs, if they are not the same.

Support and Further the Non-academic Interests of Graduate Students

In order to succeed at their academic and intellectual goals, graduate students must have support in the non-academic aspects of their lives. While the primary responsibility for student services usually rests with other offices, the graduate school plays a critical role in monitoring these services and seeing that student support offices are responsive to the needs of graduate students. This is especially important in a system driven primarily by undergraduate interests and definitions. Areas of greatest concern are financial aid, housing, counseling, health insurance and health care, and student governance.

Serve as an Advocate for Issues and Constituencies Critical to the Success of Graduate Programs

A number of concerns affect the atmosphere on every campus and so contribute to the nature of graduate education. Among them are:

1. Integrity in scholarship
2. Values and ethics in graduate education and scholarly work
3. The promotion of cultural diversity and intellectual collegiality

Problems associated with these areas can include:

1. Discrimination by or against graduate students
2. Scientific fraud and misconduct
3. Plagiarism
4. The status and treatment of minority, international, handicapped and non-traditional students and scholars

A completely different group of concerns has to do with off-campus graduate education, economic development and university-industry relationships, and fund raising. In all of these areas the graduate school serves as an initiator of discussion or advocate for positions which will maintain and enhance the quality of the graduate enterprise.

Structural Elements of Graduate Education

Nine structural elements are critical to the success of graduate education at every university. The exact form that each of these elements takes may vary, but all of the nine should be in place in one way or another. Clearly, at institutions with a very small number of graduate programs, many of these elements may be combined in one office or overlap with existing academic units.

Governing Board and Administration Which Support Graduate Education

The institution's governing board and central administration must be committed to graduate education as a central mission, designed to interact symbiotically and substantively with the other institutional missions of undergraduate or professional instruction, scholarship and research, and public service.

Degree-granting Units

The institution must identify specific academic units, usually associated with a field or discipline and populated by duly appointed faculty, to establish the requirements for each graduate program and recommend the awarding of all degrees. Graduate degrees should not be awarded by research centers, institutes, or other entities that are not the academic home of the faculty involved.

Faculty Committed to Graduate Programs and Research

There must be a sufficient number of regular, permanent faculty members who are active in scholarship and research. They must be committed to graduate education, dedicated to continuing scholarship and to the intellectual enhancement of their graduate programs and their students.

Students of High Quality

Graduate students must be identified who are highly motivated and intellectually capable of meeting the challenges of a rigorous graduate degree program. There must be a sufficient number of them in each program to allow for intellectual interaction and growth.

Chief Academic Officer for Graduate Education

Each university should have a single individual who is the chief academic officer for graduate education. The unique interests of graduate education cannot be best

served by the distribution of these responsibilities to individual academic units, for all of the reasons described in the foregoing section, The Role of the Graduate School in the University. There is a need for one individual, unaffiliated with any other academic or budgetary unit, to attend to institution-wide graduate issues and to espouse high quality graduate education throughout the institution. The title of this individual may vary greatly from institution to institution, but the title is less important than the scope of his or her responsibility and the recognition by the central administration and the campus community that this individual indeed has primary responsibility on campus for graduate affairs. In addition, he or she must have sufficient administrative support (staff, office space, computer access, operating funds, etc.) to discharge the roles outlined above. The amount of staff and administrative support will, of course, vary widely with the size and organization of the institution.

Separate Degree-granting Graduate Unit

Whether or not it is called a graduate school, there should be a separate unit within the university that decides on or has veto power over admissions decisions, ensures that the policies set in place by the graduate faculty are being carried out, and has final degree-granting authority for all graduate degrees. This structure fosters equity in standards across all graduate programs and helps to provide quality control. Graduate schools vary widely in the actual scope of their authority—some are responsible only for degrees given in the arts and sciences and others for some or all professional degrees. Appendix C lists the ranges of possible responsibility.

Graduate Program Director in Each Academic Unit

Each academic department or program should have a faculty member who is the director or coordinator of graduate affairs for that program. This individual, with the assistance of the other graduate faculty in the department, is responsible for the administration of the graduate program(s) in the department and also serves as a liaison with the central graduate school. Such an individual often has responsibility for coordinating a variety of activities such as academic advising of graduate students, admissions decisions, the allocation of fellowships and assistantships, and the appointment of faculty members to graduate student committees. The graduate program director communicates university-wide policies on graduate programs to the departmental faculty and communicates departmental decisions and recommendations to the graduate school.

A Graduate Council

Each institution should have a group of faculty members active in graduate programs who serve as a graduate council, review graduate curriculum proposals, set university-wide academic standards for graduate programs, and develop policies and procedures for the effective administration of graduate degrees. All academic matters pertaining to graduate degree programs should be determined by this or a

similar group. Faculty members may be elected or appointed to the council. They should reflect the range and diversity of disciplines offering graduate degrees, but should understand that their responsibility is to represent the interests of graduate education as a whole, not of specific programs or departments.

Graduate Student Representation

It is essential that graduate students be represented in the processes which establish and govern graduate degree programs. They may be appointed as formal members of a graduate council, as members of a separate graduate student organization, or both. Alternatively, they may be constituted informally as an advisory group to the graduate dean. In some universities such students are elected representatives of their academic departments, in others, members of a campus-wide student organization or senate. Whatever form their representation takes, there must be a mechanism to ensure that graduate students have knowledge of and the ability to influence the programs and policies which govern their academic lives.

Relationship to Research Administration

Logically, research and graduate education are closely affiliated. Graduate students contribute to faculty research through their questions and contributions in graduate seminars and in research settings, and in many fields they support research in very tangible ways as research assistants. In addition, they make their own original contributions to knowledge through their scholarly and research projects, culminating often in master's theses, doctoral dissertations, and published articles or other original works. At the same time, the quality and content of graduate instruction is closely linked to the faculty's current research; a good graduate seminar changes content regularly, as new discoveries are made or new modes of thought are introduced into the discipline.

Universities actively involved in research usually appoint individuals to deal with the many aspects of research administration. The activities of these individuals include: facilitating efforts by faculty and administrators to attract external funds in support of research, serving as liaison with sponsors, developing institutional guidelines and policies for research and related activities, developing effective procedures for grant and contract management, complying with federal and other regulations affecting research, and administering internal funds and programs designed to promote research in the institution. In assigning responsibility for these activities, universities have used several approaches, with two predominating.

Some institutions have appointed senior officials whose sole responsibility is research administration. Titles most often used are:

Vice President for Research
Vice Chancellor for Research
Vice Provost for Research
Associate Vice President for Research
Director of Research

Other institutions, acknowledging the close relationship between graduate education and research, have combined the senior research position with that of the graduate dean, resulting in such titles as:

Dean of Graduate Studies and Research
Dean, Faculty of Graduate Studies and Research
Vice President for Research and Dean of Graduate School
Vice Provost for Research and Dean of Graduate School
Associate Provost for Research and Graduate Studies

Arguments can be advanced to support either approach, and in the end, local conditions and institutional prerogatives may be the determining factors. The central issue, regardless of administrative structure, is to ensure that the policies and procedures that govern the research activities of the university are directly responsive to the needs of the institution's graduate programs. Combining these responsibilities allows for the integration of research and graduate affairs into one administrative unit. It assumes that graduate education will be supported and enhanced by the institution's research activities, and that graduate students' efforts in support of research will be well coordinated and integrated into their academic programs. Also, the chief graduate officer can then use institutional research funds as incentives to encourage the strengthening of graduate programs, faculty intellectual development, etc.

In some cases, however, where the two responsibilities have been combined, the pressures of day-to-day research administration have required full-time attention by the administrator involved, resulting in little or no time available for graduate school matters. A response to this problem, particularly in some large and complex institutions, has been to create two additional positions, one for graduate studies and one for research, both reporting to the chief graduate studies and research officer. This can be effective as long as the individuals involved are considered part of the administrative structure of the entire institution rather than just the graduate school, and have authority commensurate with their responsibilities.

The other structure is one in which graduate education and research are each represented by a full-time senior administrator. This implies that more attention will be paid to each of these important areas. For this structure to succeed, it is particularly important that both individuals, because of their campus-wide responsibilities, be represented on those committees and councils of the central administration which determine university policy. Furthermore, because of the significant overlap in interests, the individuals involved will need to establish a system of regular, direct communication.

Compendium of Graduate School Activities

Graduate schools vary immensely in the specific activities with which they become involved, depending on institutional history, organizational responsibility, and the priorities of the current dean and central administrators. This section provides a list of many common activities of a graduate school or graduate office, with a brief description of how each activity is usually handled. While it is not necessary for graduate schools to be involved in or responsible for each of these activities, they are all areas which affect graduate education. Where it is not specifically responsible for an activity that affects graduate education, the graduate school should be involved in the development of policies governing that area. The graduate dean and graduate faculty need to have input into all decisions crucial to the success of graduate programs, regardless of where they are implemented.

The activities listed here are carried out by the graduate dean, the graduate faculty (meeting in committees or as a graduate council), graduate student representatives, and the professional and technical staff of the graduate school. Few of these activities can be carried out by one person or group of persons alone; they require a collaborative effort of faculty, students, and administrators. In determining who takes responsibility for what, the following guidelines for good practice should be noted:

1. The graduate faculty should establish all academic policies governing graduate education, including requirements for students, curriculum, and faculty selection, and should review and comment on the allocation of resources.

2. Graduate students should have the opportunity to comment upon all academic policies affecting their graduate programs, including admissions, completion requirements, and program content.

3. The graduate dean should have final authority and responsibility for the quality and well being of all graduate programs at the institution, as defined by the scope of his or her duties. He or she should endorse all policies pertaining to those programs and have the resources to implement them.

4. The professional and technical staff of the graduate school, in conjunction with the graduate dean, should implement all policies governing graduate education, or work with the administrative office responsible for implementing them.

Program Content

Review of new and revised programs

The graduate school should be responsible for the review and approval (or recommendation for approval) of all new and revised graduate certificate and degree

granting programs. This includes programs which are offered off-campus or in non-traditional formats or settings. This may also involve the review of all graduate courses and programs for non-degree candidates at the post-baccalaureate level. Reviews should be conducted by the graduate council or by another representative faculty body. If curriculum reviews are the responsibility of a central university committee not under the direct purview of the graduate school, then the graduate faculty and the graduate dean should be well represented on that committee.

Development of new graduate programs

The development of new graduate courses and programs is primarily the responsibility of the faculty of each academic unit. However, the graduate school can and should help in that process by encouraging new directions and interdisciplinary cooperative ventures, providing assistance in proposal development, and reviewing new program ideas early on for content and appropriateness to the graduate mission of the institution. A significant part of the graduate dean's responsibility should be to inspire new intellectual pursuits, not simply to respond to faculty initiatives.

*Review of existing graduate programs and departments**

Every institution should have in place a process for the periodic review of existing graduate programs and departments. In many institutions, academic program review is handled in the provost's or academic vice president's office, and entire departments, including graduate and undergraduate programs, are reviewed at the same time. There is a definite gain in efficiency and ease for the department in having a single, less frequent review, instead of separate reviews for its graduate and undergraduate programs. There is also considerable logic to this approach, since in almost all academic departments, graduate and undergraduate matters interrelate, and faculty, facilities, staff, and other resources are almost always shared.

In other institutions, graduate programs are reviewed separately. This approach has the advantage of allowing more time and attention for the graduate program. Also, it guarantees a review by faculty who are interested in and specifically qualified to examine the graduate program and research emphasis of the enterprise. Otherwise, the graduate portion of a department's activities can too easily be overshadowed by the undergraduate program, which is usually larger, and the careful attention to the subtler and more subjective methods needed to assess quality in graduate seminars, laboratories, theses and dissertations can often be lost.

Where graduate programs are reviewed separately, those reviews should be conducted under the purview of the graduate council or similar faculty body. Where they are reviewed by university-wide committees in conjunction with undergraduate programs, it is essential that there be strong graduate faculty representation on those committees and that the graduate school be involved in each review and in implementing any final recommendations.

* See CGS publication, *Academic Review of Graduate Programs*, 1990.

Setting of academic policies governing graduate study

All academic policies governing graduate study should be established by the graduate school, through the graduate council or other representative faculty body. These include policies on admissions standards, minimum unit requirements for degree completion, GPA requirements, content and format of master's theses and doctoral dissertations, nature and format of comprehensive and qualifying examinations, qualifications of faculty to serve on graduate student committees, transfer credit, leaves of absence, maximum length of time to degree completion, minimum registration requirements, and many others. Such policies must be consistent with university-wide policies on degree programs and students, but are usually more restrictive than those governing undergraduates. They set minimum standards to be applied to all master's and doctoral degrees, regardless of discipline, with the understanding that individual academic departments will and should set more stringent standards in certain cases. Because graduate students are directly affected by all of these policies, they should have an opportunity to comment on and thus influence their final content.

Students

Admissions

In many institutions, graduate admissions are administered entirely by the academic department, including the processing of applications, individual admissions decisions, and notification to prospective students. In some institutions, applications are processed by a central or graduate school admissions office and decisions recorded there, though the department makes the actual decision. In other institutions, the entire process is in the graduate school, including the processing of all application materials and maintenance of all admissions files. The major role of the graduate school office is to monitor decisions, ensure that appropriate admissions processes are being used at the department level, and maintain the minimal standards established by the graduate faculty.

Regardless of the process followed, the primary decision to admit or deny admission of a student to a graduate program is the responsibility of the faculty of the relevant academic department, assuming that minimum standards established by the graduate school have been met. The key to the quality of any institution's graduate student population is its admission policies. Although a careful process with high standards does not guarantee success in graduate school, a haphazard process with little initial screening almost inevitably guarantees a high rate of attrition and failure. If the graduate school does not approve each admission action, it should see that standards are being adhered to, either through the review of student files, periodic departmental review, or other such mechanisms. In addition, the decision to admit should be supported by the central admissions office, if any, and/or that of the graduate school, to maintain minimum university-wide criteria for graduate admission.

*Recruitment**

Recruitment of new graduate students is primarily the responsibility of each graduate department. Unlike most undergraduate students, who choose the institution as a whole, graduate students choose the specific academic department in which they want to study, and in some cases the specific professor with whom they want to work. Individual faculty members will always remain the single best recruiters of graduate students. The graduate school can and should support their efforts by offering funds for faculty to add recruitment onto their professional travel, assisting with the publication of brochures describing the department, its faculty and programs, and providing publications which describe the institution in general (location, financial aid, research facilities, application procedures) and something about its commitment to graduate education. Where this is not done by the graduate school directly, it should be done by the general admissions and recruitment office or by the individual academic departments and schools, or both. But in the latter case the graduate school should still contribute to the content of those publications and can often provide expertise on how to design and distribute them.

The graduate school in many institutions also represents all the graduate programs at campus-wide professional and graduate school recruitment days or national information/recruitment forums. In these cases, it is impossible for each academic department to be represented, and students often need information about a wide range of disciplines. While a representative of the graduate school often cannot discuss those important specifics about a program which the student needs to make a final decision, enough general information about the program can be provided to interest the student in the university, and direct him or her to the right person in the department. A follow-up by telephone with the interested student often turns an inquiry into an application. As always, personal contact reaps the best harvest.

Because of the small number of minority students in almost every discipline at the graduate level, the graduate school has a critical responsibility to take the leadership to develop and implement special programs for minority recruitment.** Individual departments have this responsibility as well, but all too often focus solely on traditional criteria for selection and may not have the information or expertise to find and attract minorities. Many graduate schools have an individual specifically responsible for minority recruitment who attends national recruitment days, visits predominantly minority institutions, and develops contacts with faculty at high schools, junior colleges, and four-year schools in the region who can interest minority students in graduate education. Such a person can also keep abreast of successful recruitment strategies at other institutions and ensure that the institution participates in regional and national name exchanges and minority student locator services. As with all recruitment activities, it is essential to involve faculty, especially minority faculty, in these projects.

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* See CGS publication, *Graduate School and You.*

** See CGS Publication, *Enhancing the Minority Presence in Graduate Education*, 1988.

*Fellowships and financial aid**

It is impossible to support and foster graduate education without taking an active role in identifying and distributing funds for graduate student fellowships and financial aid. The graduate school should actively solicit funds for student fellowships, both from within the university and from external sources, and should establish, through faculty committees, how those fellowships will be disbursed. Fellowship support should be tied primarily to academic merit, though some consideration for financial need may also be appropriate. Some fellowship funds should be set aside for specific groups of students whom the institution wants especially to attract and retain, e.g., minorities and other groups underrepresented in certain disciplines. To the extent possible, fellowships that support graduate students should be administered by the graduate school, since graduate fellowship support is a powerful tool for improving the quality of graduate programs.

In addition to fellowship funds, graduate assistantships, whether for teaching or research, constitute an important form of graduate student financial aid. This is discussed in the section on teaching and research assistants.

Other forms of financial aid for graduate students (federal and state loans, work study funds, institutional grants, etc.) are often administered through a central financial aid office, in conjunction with or parallel to undergraduate aid programs. In such cases, the graduate school should nevertheless take an active role in determining policies about how financial aid for graduate students will be distributed. Special attention should be given to the policies controlling the division of aid funds between graduate and undergraduate students. The graduate school should also be involved in defining graduate student eligibility for aid, based on credit-hour enrollment and satisfactory academic progress, and in establishing average student budgets used by the institution to distribute aid.

Teaching and research assistants

Most institutions with large undergraduate programs employ graduate teaching assistants (TAs), and many have research assistants (RAs). These individuals perform invaluable services in teaching undergraduate classes and laboratories and in assisting faculty in research. However, they are still fundamentally graduate students, and as such their assistantship awards must be considered primarily as a form of financial aid to help them complete graduate school, rather than as simple employment.

In some universities, individual departments hold the budget for and appoint all TAs and RAs; in others, the graduate school retains this authority and allocates awards on the basis of instructional need, also taking into account the quality of the students and of the graduate program in that department. In many cases, the graduate school

* See CGS publication, *Financial Aid Handbook for Graduate Deans*, 1990.

does not appoint individual graduate assistants but sets minimum academic and financial guidelines for such appointments and may review individual awards against these guidelines.

Whether or not it appoints graduate TAs and RAs directly, the graduate school should take an active role in establishing policies which govern them, including stipend levels or ranges, average work loads, minimum academic qualifications, appointment and renewal procedures, and a mechanism for resolving grievances. In addition, the graduate school should serve as an advocate for teaching or research assistants, insuring that they are treated fairly and that their assistantship duties do not interfere unduly with their academic studies, but rather contribute to them.

The graduate school may also be responsible for providing training in classroom instruction for teaching assistants, especially international teaching assistants. This may involve operation of a central TA training program and special training sessions for international TAs, administering English language tests to non-native English speaking TAs, and providing other special orientation and counseling services, either alone or in conjunction with an instructional development center. Alternatively, it may involve insuring that individual academic schools or departments conduct such programs, and simply providing central resources for them to use. The graduate school cannot leave the training and support of teaching assistants to chance, for their experiences as TAs may affect directly their success as graduate students and as future faculty members.

The nature and extent of work that research assistants perform should be determined by each student's faculty advisor or the director of the research project, with the expectation that the student's research efforts will contribute in a tangible way to his or her academic program. The graduate school serves an important role in assuring that research assistants are working on projects which contribute to their intellectual growth and degree goals, that they are not being taken advantage of, and that they progress through their programs at a reasonable rate.

Monitoring student academic progress

The faculty members in each academic department bear final responsibility for monitoring the progress of graduate students through their academic programs. The graduate school can and should supplement that effort, however, through policies which set guidelines for minimum enrollment or registration requirements, leaves of absence, maximum time to degree completion, and the examinations and reviews which occur along the way.

In many institutions the graduate school monitors student academic progress by keeping records on individual students, notifying departments and/or the students themselves when a time limit has been exceeded or one or more milestones have (or have not) been passed successfully. [For students receiving federal loans (Stafford, Perkins, supplemental Loans for Students) or college work-study funds, satisfactory academic progress is a federal requirement.] The graduate school should take a very active role in this process to be certain that students know where they stand relative

to the completion of degree programs. In most institutions, the graduate school, as the college of record, is responsible for notifying students of official actions relating successes or failures, and it is important that this be done clearly and expeditiously. The graduate school also serves as an information source for academic departments, to let them know how individual students are progressing. It has a responsibility through its graduate council to set policies on student academic progress, to educate graduate advisors as to what those policies are, and to counsel students who need help in understanding or fulfilling the regulations.

Appointment and approval of faculty committees

Faculty committees which guide students through graduate programs, examine them on their knowledge of the field, and assess the quality of their theses and dissertations are critical to good graduate education. Such committees should be composed of the faculty from a variety of fields who are best able to judge the student's work.

Faculty committees in many institutions are appointed by the academic department, with the concurrence of the graduate school. In other institutions the graduate dean appoints the entire committee, upon recommendation from the department. Most institutions have at least one member of master's and doctoral committees who is outside the student's academic department, in order to ensure that the quality of the work is consistent with the institution-wide standards for that degree and that the process is a fair and reasonable one. In the case of doctoral dissertations, a faculty member from outside the university may be appointed to the committee or asked to review the final product to provide unique expertise or simply an external assessment.

Working with academic departments, the graduate council should develop guidelines on the makeup of the committees, including the mix between tenured and non-tenured faculty, the proportion of faculty from inside the department, and the conditions under which committee membership may change. The council should also establish criteria for faculty eligibility to serve on graduate student committees.

Maintaining academic records and degree verification

Some graduate schools maintain all student academic records, including grades and examination results, and provide final verification that a student has completed all requirements for his or her degree. This requires extremely careful record-keeping and extensive knowledge of degree programs and requirements. Many other universities rely on a central registrar's office to perform these functions with the help of a computerized information system, but the graduate school is still involved in verifying final degree completion or in verifying the completion of a portion of the student's degree requirements, e.g., comprehensive examinations, language requirements, and dissertations. Where the majority of technical record-keeping and verification is done centrally, the graduate school still has a role to play in insuring that the registrar's office understands graduate degree programs and has the trained

staff and computer resources to provide accurate information and efficient service to graduate students. These activities should not be left to chance.

Thesis and dissertation approval

Many graduate schools have as a part of their office one or more staff members who review and approve the format of theses and dissertations for publication. The publication or thesis office sees that all such final documents are in a consistent style and format, suitable for publication, binding, microfilming, and permanent storage in the institution's library or a national storage facility. It may also deal with requests by graduate students to have their documents copyrighted. At institutions where these functions are performed by an office outside the graduate school, the graduate dean should still be involved in setting policies governing the format of theses and dissertations and in adjudicating disputes between students and the publications office about such matters.

Student support services and retention programs

In addition to monitoring the quality and academic progress of graduate students, the graduate school plays a critical role in providing the support services necessary to make academic progress possible. This includes counseling students about a range of personal, financial and academic matters, providing practical and up-to-date information about how to work through the institution's bureaucracy, and disseminating clear information on degree requirements and graduate school policies and procedures. It also involves student development and enrichment activities like orientation, sessions on applying for jobs and using placement services, workshops on getting through the thesis or dissertation, and help in resolving financial aid problems.

The graduate school, in its role as advocate, should be the university unit that actively pursues fair and responsible treatment of graduate students in all offices and departments of the university.

Because of the significant investment of time and money represented by each admitted graduate student, the university has an obligation to itself and the student to make every effort to keep the student enrolled, assuming he or she is performing satisfactorily. The graduate school should initiate or help departments design strategies for retention of graduate students, especially (but not exclusively) those from minority and underrepresented groups. These may include special faculty mentoring programs, counselors identified specifically to counsel and track certain students, ombudspersons and student advocates to help students resolve individual problems, seminars or social events where graduate students have a chance to relate to their peers in other disciplines and feel less isolated, and close work with faculty members to identify and resolve potential academic problems before they become crises. Every academic department has a primary responsibility for support and retention of its graduate students, but the graduate school can offer individual staff and campus-wide programs to make that support more tangible.

Special efforts need to be made to see that minority students and women receive the information and support they need to complete their programs. Specific faculty members who take on the responsibility of monitoring these students, and staff members assigned to follow their progress, can be very helpful in assuring that unnecessary obstacles are removed from these students' academic paths. Also, seminar series or forums bringing together minority graduate students in related disciplines or, e.g., women in science and engineering, can do a great deal to keep these students active and motivated to complete their programs.

Liaison with student organizations

Graduate student organizations take many shapes and forms on university campuses. In some cases, graduate students are represented formally in the governance system only through representation on a student senate dominated by undergraduates. In other cases, they have their own official association. There may be a graduate school student advisory committee, formal or informal, and there are usually graduate student organizations in most of the large academic departments. In some institutions no formal student organizations exist.

The graduate dean should develop a regular means of communication with graduate students, in order to obtain reactions to proposed new policies and regulations, and generally keep attuned to student issues and concerns. Such discussions often serve as an early warning sign of potential problems and keep the dean in touch with the day-to-day life of graduate students. This communication may be accomplished through regular meetings with existing student organizations or informal gatherings of student leaders or selected representatives from various departments. Both are probably desirable; the formal liaison is critical, but the informal discussions often yield much richer information and develop greater mutual confidence.

Liaison with administrative offices

Graduate students interact with nearly every administrative office on campus, including admissions, financial aid, personal services, the bursar, the registrar, student housing, parking, the student activities office, the counseling center, and the bookstore. Although none of these is or should be the direct responsibility of the graduate school, it is the graduate dean's responsibility to see that each of these offices is serving graduate students well. This may involve helping to set administrative or financial policies in areas which affect graduate students, educating staff in these offices about the nature of graduate education and how it differs from the undergraduate experience, and serving as a mediator between academic departments and administrative offices when problems arise. The staff of the graduate school should be able to communicate effectively with faculty and students on the one hand and administrative staff on the other.

Development of policies for student grievance procedures, review of academic progress and investigation of allegations of academic dishonesty or plagiarism

The graduate school should have in place clear policies and procedures for graduate student grievances and appeals, including grievances against a faculty member or other university employee or against a fellow student. These procedures should govern behavioral violations of an agreed-upon code of personal and professional conduct as well as complaints of discrimination or unfair treatment. If these procedures are developed in a student affairs or other office outside of the graduate school, they should be reviewed by graduate school representatives as well, so that the unique needs and circumstances of graduate students (e.g., their frequent role as teaching or research assistants) are being addressed.

Similarly, policies and procedures for periodic review of academic progress should be clearly delineated, both at the departmental and graduate school levels. The graduate faculty should make all decisions on the quality of a graduate student's work; however, it is the responsibility of the graduate school to see that the criteria used for evaluation are clear, appropriate, and made known to all students in advance, and that the process of review is a fair and equitable one, based solely on the student's academic and professional performance.

Further the graduate school should put in place a mechanism for the student to appeal academic decisions, should he or she believe the decision was made on an inappropriate basis or the process was unfair. It is the responsibility of the graduate school to ensure that both the student and the academic department are protected from unfair treatment, harassment, or discrimination, so that the necessary academic decisions can be made strictly on their merits.

The graduate school should establish policies and procedures for dealing with academic dishonesty and plagiarism. In some cases, these will be developed in conjunction with the research office or the office of academic affairs. Institutional policies governing these matters often need to be adapted to accommodate the special circumstances of graduate students and the unique collaborative relationship they have with their faculty advisors and fellow graduate students, especially on shared research projects.

In all cases where disputes are involved it is essential that policies and procedures developed by the graduate school assure due process to all concerned.

Faculty

Appointment and review of graduate faculty

Since graduate programs are only as good as the faculty who offer them, appointment of the graduate faculty is crucial to the quality of the school. The graduate faculty includes those eligible to teach graduate courses, direct graduate student research, design the graduate curriculum, and serve on master's and doctoral student

committees. In some universities, the graduate faculty is defined as all faculty members who hold certain academic ranks, e.g., all tenure-track faculty with the rank of assistant professor or higher. In these cases, the regular faculty appointment and promotion process doubles as the appointment process for the graduate faculty, and the graduate school accepts whatever faculty the academic unit has duly appointed.

In other institutions, the graduate faculty is a subset of the entire tenure-track faculty, selected through a special review process conducted by the graduate school. In this system, faculty members must apply, usually through their departments, for membership in the graduate faculty. If accepted, they are often reviewed periodically for continued eligibility, which usually involves remaining active in the graduate program as a teacher and adviser of students and demonstrating continued involvement in scholarship and research. The graduate council or a similar faculty advisory body is usually charged with this review. Faculty members who are not tenure-track but who have special expertise to offer graduate students, e.g., research, clinical, or adjunct faculty, may be appointed as members of the graduate faculty as well, and may, in some cases, serve as codirectors of graduate student committees, along with a regular faculty member.

The advantage of identifying a separate graduate faculty is that it provides a specific review process aimed at ensuring that only well-qualified, active faculty members are involved in graduate programs. This is particularly important in institutions where some faculty, particularly in professional schools, may not be trained for involvement in graduate programs. A major drawback is that the process can be an extremely political one and runs the risk of creating two classes of faculty members. Many institutions utilize a periodic review or reapplication process to provide an incentive for faculty to stay current in their fields and active in research, and to assure graduate students that the faculty have been judged by peers to be productive scholars capable of involvement in graduate programs.

The advantage of utilizing an established faculty appointment process, of course, is that there is only one review. This system avoids the need to conduct two parallel appointment and review processes and avoids the political and personal conflicts of a special selection. It presumes that the criteria for appointment to the tenure-track faculty of the institution are the same as those for appointment to the graduate faculty. It does not, of course, allow for any later review process, outside of the normal promotion and tenure process, especially for faculty who are no longer actively engaged in scholarship or research.

Whatever system the institution chooses, the graduate school should be involved in establishing criteria for the qualifications of those faculty who will be teaching and directing research in graduate programs. Without this involvement, it is impossible to give assurances about the quality of the university's programs of graduate education.

Participation in faculty appointment and promotion decisions

Given the need to review and/or establish policies for the graduate faculty, the graduate dean should have direct involvement in the institution's decision- making process for faculty appointment, promotion and tenure. This may involve interviewing candidates for tenured faculty positions or chairs, reviewing individual appointment and promotion dossiers, or serving on a campus-wide committee charged with the final decision. Because of the graduate dean's broad knowledge of graduate education and unique information about the problems and potential of each academic department, he or she has much of value to contribute to these deliberations. Decisions about faculty appointments and promotion are not just decisions about individuals but about the future direction of the academic program, and the graduate dean should be integral to that planning process.

Faculty development

Many graduate deans are involved in faculty development programs whose purpose is to encourage faculty to explore new scholarly directions, to develop their research potential, or to identify new opportunities for scholarship and professional activity. These often include workshops and seminars to learn about grant writing and research funding, sessions to develop new curricula, or release time to expand knowledge and renew scholarship. The graduate dean is involved in these efforts because they are central to maintaining high-quality graduate programs, and because he or she may have access to funds or development opportunities not accessible to individual departments. Where such programs are administered by a separate faculty development office or the academic vice president's office, the graduate dean should still participate in the programs.

Another aspect of faculty development which is unequivocally the responsibility of the graduate school is educating new and continuing faculty about the policies and procedures which govern graduate education. Faculty members come to an institution with a set of policies in mind and an approach to graduate education which was the one in place at their previous teaching institution, or at the institution where they were graduate students themselves. The graduate school should provide orientation sufficient to see that new faculty understand local practices and policies, that they are giving correct information to their graduate students, and that they know what sources of assistance and support are available to them.

Advocacy for postdoctoral fellows and visiting scholars

Many institutions have research personnel on campus who are neither faculty, students, nor staff; some of these individuals are postdoctoral fellows on federal or private grants, or visiting scholars from other countries. Unless there is a specific office responsible for these individuals, the graduate school should set institutional policy and practice for their appointment and relationship to the university. In effect, the graduate school often serves as the administrative home for individuals who enrich the diversity and quality of research and scholarship in the university.

The most common issues to be resolved for postdoctoral fellows and visiting scholars are: qualifications and procedures for appointment; employee and tax status; term of appointment; access to libraries, computer time, laboratories, and other university resources; faculty sponsorship; and access to health insurance and other benefits. Clearly, these issues must be resolved in cooperation with many other offices on campus.

Administrative Support

Data collection and dissemination

Acquiring and maintaining good information on graduate students and graduate programs is essential for any institution, and the advent of computers has made this much easier than it was in the past. The graduate school is often the repository of basic demographic and academic data on all graduate students, and provides this information to graduate departments and other university offices. Such information includes kinds and numbers of degrees awarded, program requirements, numbers and characteristics of students enrolled, time to completion of degree, and attrition rates. In addition to allowing the graduate school to make informed decisions on academic policies and trends, these data are often developed into annual graduate school reports, which can be extremely valuable to the faculty and administrators in making program decisions and setting priorities for the future, as well as in determining the effectiveness of current academic policies. They can be used in reviews of individual academic departments or larger accreditation reviews, and can serve as evidence of the need for additional financial support for critical programs.

In many instances, the data maintained in the graduate school are supplemented significantly by data kept in central university computer files, and in some cases all student and program data are kept centrally. Whether maintained within the graduate school or in a central university system, good data on graduate students and graduate programs are essential. Decisions about curriculum changes, future academic planning, the use of fellowship and assistantship resources, and the academic quality of individual programs cannot be made effectively without reliable statistics. If these data are not collected and maintained by the graduate school, the individuals who design and maintain the institution's central student and program information systems must be responsive to the graduate school to guarantee that data are recorded accurately and are easily retrievable. Setting the definitions and categories for how the data will be stored and how reports will be written is critical, and a representative from the graduate school should participate with computer programmers and administrators in establishing those definitions.

Most institutions find that a combination of data maintained in the graduate school and data maintained centrally is the most practical and efficient use of resources. This avoids the graduate school's becoming an administrative processing and data collection center but still allows it to benefit from availability and local control of relevant parts of the information systems.

The Council of Graduate Schools has developed the capacity to bring information on graduate enrollments and degree production together from across the membership, analyze it, and offer its members reliable national data for use on their individual campuses. In cooperation with the Graduate Record Examinations Program, the Council conducts an annual national Survey of Graduate Enrollment that provides data on graduate enrollment and degrees. Results of each year's survey become part of a longitudinal database on graduate education and are made available to members through annual publications, articles in the CGS *Communicator*, and presentations at national and regional meetings.

Liaison with legal affairs

The graduate school must maintain a good relationship with and rely regularly on other central administrative offices such as legal affairs. As the academic world, like the rest of society, becomes more litigious, the graduate school is inevitably drawn into an increasing number of legal disputes. Ambiguous policies in the catalogue, vague academic advising, and unfair treatment (real or imagined) by faculty or staff can all lead to at least the threat of a law suit by an aggrieved student. In these cases, it is essential that the graduate school turn to appeals procedures and legal counsel for help, preferably having already established a good working relationship and an understanding of the relevant laws. Particularly important is the development of a clear understanding of due process and the assurance that this is provided to those with grievances.

While the legal affairs office or outside legal counsel can be very helpful in adjudicating threatened legal actions and resolving disputes before they get to that point, such offices are only advisory. The graduate dean and his or her faculty advisory bodies should not relinquish final decision-making authority to legal advisers, nor should they mistakenly defer to or consult with legal counsel on essentially academic matters. All academic decisions concerning individual graduate students must remain with the graduate faculty, with oversight by the graduate dean.

University-wide Activities

Promotion of intellectual collegiality

One of the important roles of the graduate school is to support and further intellectual collegiality on campus. This support often involves sponsoring special campus-wide symposia, seminars, guest lectures, and events recognizing scholarly accomplishments by the faculty. Such activities promote and encourage intellectual exchange among graduate students and faculty of different disciplines and keep them abreast of new research developments in other fields. It is the existence of a community of scholars which distinguishes a university from a collection of isolated teaching centers or research institutes, and the graduate dean, with his or her central place in the institution, is ideally suited to foster this sense of community.

In addition to learning about exciting work in other disciplines, faculty and graduate students who attend these activities develop a stronger sense of the concerns of the

graduate enterprise and the different forms that excellence at the graduate level may take. This is essential if individual graduate programs are to remain strong and comparable in quality to similar programs elsewhere on campus and throughout the country. Such activities also expand the horizons of faculty and students, who work in what are increasingly narrow and specialized fields of inquiry, and give them an opportunity to exercise their intellects on problems outside their own disciplines. This can lead to exciting new collaborations among faculty in different disciplines or to the realization that others across campus are actually working on very similar problems. New research activities develop partly through efforts such as these.

Participation in central university decision-making

As a leader with university-wide perspective and responsibilities, the graduate dean can and should participate in the institution's central decision-making processes. Any institution which has made a commitment to graduate education should allow its spokesperson a voice in the major academic and financial decisions which shape the institution. This usually involves membership on the president's council or group of senior administrators and includes decisions on academic planning, new administrative or academic priorities, and the allocation of budget resources to individual schools and departments.

The graduate dean can contribute much to these deliberations through his or her working knowledge of individual departments and the academic and financial conditions of each. He or she also has an overview of the institution as a whole and a sense of desirable academic directions, which can be difficult to duplicate on today's decentralized, specialized and financially-driven campuses.

Enhancement of scholarship and research

The graduate dean should play a strong role in enhancing the quality and quantity of scholarship and research by faculty and graduate students, in order to preserve and improve the quality of graduate education. This often includes providing grants to faculty to initiate or complete specific research projects (including funds for travel, equipment and book purchases), release time in the summer, or other kinds of professional development support.

Research support should also include grants to deserving graduate students to attend professional meetings or pursue research interests not funded through a department's or school's normal channels. Such support for students is especially important, since it often gets lost in the individual school among faculty needs for research and travel support. The graduate dean has a special responsibility to see to the intellectual welfare of graduate students across the campus, which includes finding funds for support where no other sources are available. Graduate student organizations sometimes use a portion of their resources to support competitive travel grant programs for their members, as well.

External Relations

Involvement in regional and national associations

In addition to significant responsibilities on campus, the graduate dean also has responsibility to participate actively in regional, national, and international associations concerned with graduate education. In the press of daily affairs, it is extremely difficult to find time for professional activities, but they are essential if the graduate dean and his or her staff are to fulfill their larger obligation to graduate education broadly defined and to maintain the skills and information necessary to do their jobs at home. It is impossible to keep up to date on national student aid programs, federal budget proposals, changes in the tax laws, and research funding levels without a steady stream of information from external associations and a network of contacts with other graduate deans. In addition, the wisdom and knowledge of colleagues at other institutions experienced with graduate education offer an invaluable resource to both the new and long-term graduate administrator. The environment for graduate education is changing constantly, with more part-time students, less financial aid available, new disciplines emerging, new concerns about scientific fraud and misconduct, increased pressure to offer off-campus programs, and increased demands for accountability by government agencies. In addition, pervasive concerns about promoting diversity in academe, with particular emphasis on the nature of the student and faculty population, make it imperative that graduate deans know what is happening beyond the gates of their own campuses. Effective graduate deans must take the lead on many of these issues, rather than respond to the initiatives of others. They cannot do this without a view of the issues that is broader than that of their own institution.

Professional associations and colleagues at comparable institutions also provide an excellent sounding board for trying out ideas for new policies or procedures and getting advice on managing specific problems. They offer a small antidote to the traditional academic tendency to "reinvent the wheel." They also provide both the graduate dean and the graduate faculty with a sense of what the national or international norm may be on a specific issue, or at least the varieties of good practice.

A number of important professional associations in graduate education serve these purposes. The Council of Graduate Schools is a comprehensive organization, with approximately 400 member institutions, of graduate schools in the United States and Canada. The Association of Graduate Schools, an affiliate of the Association of American Universities, is an organization of the graduate deans at the 58 AAU institutions, all of which are CGS members, and the Canadian Association of Graduate Schools is the primary association for graduate schools in Canada. In addition, the Council on Research Policy and Graduate Education of the National Association of State Universities and Land-Grant Colleges provides an opportunity for deans and research administrators at those institutions to exchange views. There are four regional associations of graduate schools (West, Midwest, Northeast, and

South) in the United States, and similar associations in some provinces of Canada. Finally, individual states or higher education systems have in some cases formed formal organizations or informal consortia of graduate deans in order to coordinate activities and provide mutual information and support.

These associations provide data on graduate students and graduate programs, work to establish nationally-accepted policies, represent the interests of graduate education to the federal government, and provide professional development opportunities. They also offer individual deans a powerful way to influence national policy, funding, and legislation affecting graduate students and research.

As a member of the national and international graduate community, the graduate dean has a responsibility to participate in that community and to lobby for meaningful change. It is not enough to be concerned solely with local issues, because the nature of graduate education ensures that national and international issues will affect graduate programs everywhere.

Liaison with national, state and provincial legislatures and boards

In the same vein, graduate deans should develop and maintain effective relationships with officials responsible for or involved with graduate education in national and state or provincial governments. This includes, where appropriate, elected officials who represent the area in which the university is located, as well as those with specific interests in education and research, staffs of funding agencies or councils, state or provincial higher education associations, governing or coordinating boards, and other organizations charged with responsibility to provide funds for support of students, programs, and research facilities. In addition, it is particularly important that graduate deans are in close contact with units of government that establish laws or regulations governing graduate students and faculty.

In many institutions, these liaison responsibilities are handled primarily by the president, vice president, or an external relations officer. However, the graduate dean often has access to specialized information provided by the professional associations listed previously, or through other sources. This places the dean in an excellent position to provide information on and serve as an advocate for graduate programs at his or her institution. Obviously, such contacts should be coordinated with the efforts of other university officials charged with external responsibilities, but it is important that the graduate dean be a part of any discussions involving graduate education. Relationships should be established early and cultivated regularly through visits to campus and to legislative or administrative offices, so that political support and understanding of graduate education is already in place when a specific issue arises.

Development of alumni relations

Developing good relations with university and especially graduate school alumni is becoming more and more central to the activity of the graduate school. Alumni

can offer both financial and political support to graduate education; they can be called upon to help evaluate and offer suggestions for improvement in graduate programs, and they can be used individually or in groups to speak out to legislators on behalf of graduate issues. Finally, they can be an excellent source of funds for graduate student fellowships, research support, and other financial needs of graduate departments.

In cultivating alumni, graduate deans need to be careful to coordinate their efforts with the efforts of the university alumni association as well as the deans of other schools, since alumni are usually seen or see themselves as graduates of a specific school or department as well as the graduate school. However, there is room for support of both enterprises, depending on an individual's interest, or of one through the other. Those who have completed graduate programs themselves, or whose children have, are often the most sympathetic to the need for funds for student fellowships, research equipment, and travel grants.

Fund-raising

As the financial need of graduate students becomes more severe, the competition for the strongest students more intense, and the funds more scarce, nearly all graduate deans will need to devote some time to fund-raising. Developing good relations with alumni is an important strategy for raising funds, but donors need not have a past history of association with the graduate school or even the university. Private individuals, corporations, and foundations are all good potential sources of funds. Exemplary and articulate graduate students and faculty should be included in the solicitation process, and all efforts coordinated with the institution's development office.

Given the limited time and expertise of graduate deans in this area, a successful fund-raising effort for graduate education requires the public commitment and support of the institution's central administration. Graduate deans need not become development officers, but they do need to initiate and be involved in the fund-raising process every step of the way, to ensure that graduate education remains a high priority for the institution, and that in the search for funds, academic judgments continue to govern financial decisions.

Research Administration

A significant number of graduate deans also have responsibility for research administration. While it is beyond the scope of this document to describe in detail all of the activities which this responsibility entails, the following provides a partial list:

- Setting a climate for excellence in scholarship and research
- Providing information on research and other sponsored funding opportunities
- Assisting faculty in obtaining external research grants and monitoring the use of these funds

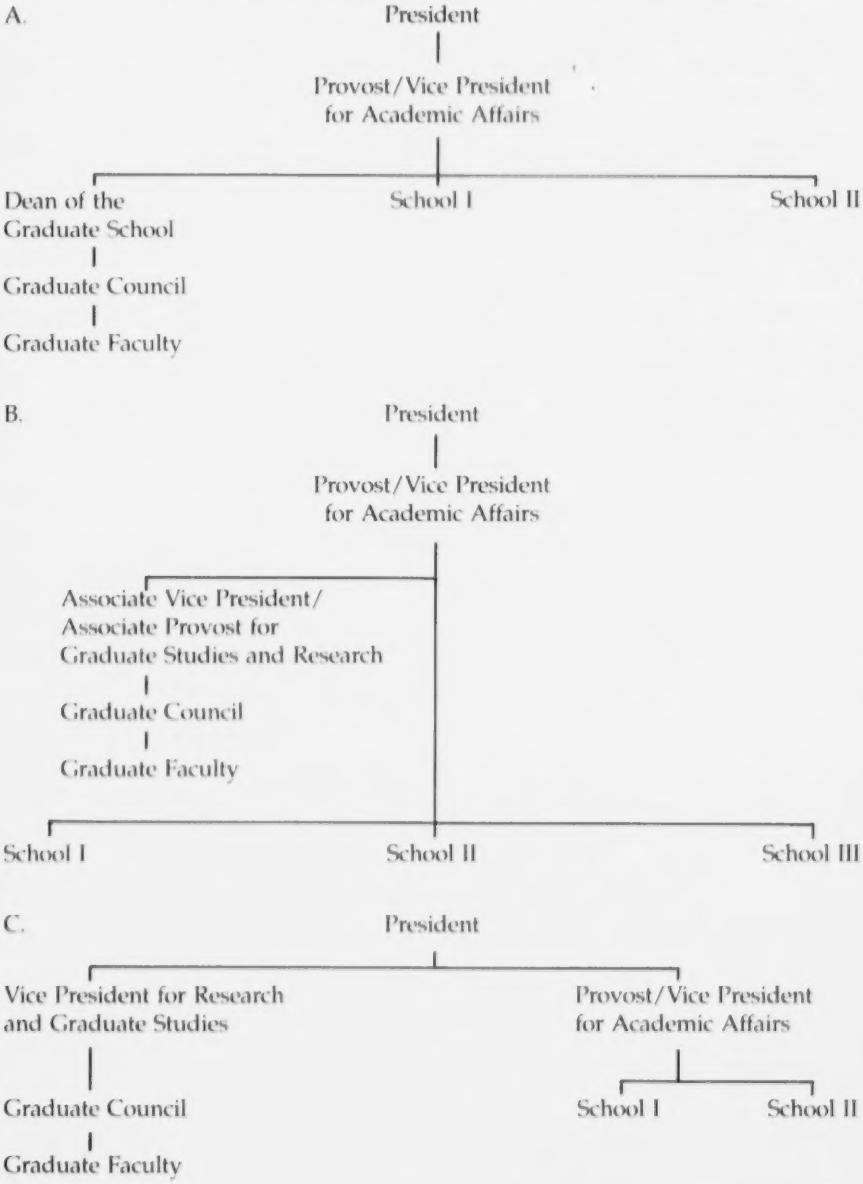
- Representing the interests of researchers to the administration and the interests of the administration to researchers
- Establishing policies governing sponsored program activity
- Participating in negotiations on indirect cost rates
- Monitoring the use of human subjects and live animals in research
- Administering copyright and patent policies
- Preventing and investigating fraud and misconduct in research
- Developing university-industry relations, including the development and administration of research parks or similar facilities
- Allocating institutional faculty research funds
- Establishing policies for and/or administering organized research units (centers, institutes, etc.)
- Creating procedures for the disposal of hazardous waste and other research-related threats to health and safety

Conclusions

No two universities are exactly alike, and the same is true for graduate schools. While the Council of Graduate Schools does not advocate any one method of organization, there are certain critical elements and principles of good practice which must be in place in any institution to maintain quality graduate programs. In addition, there are certain basic activities in which all graduate schools should participate, if only to set academic policy, tone, and direction. Rather than set forth a prescriptive model for the organization and administration of graduate education, this document has attempted to describe the range of ways in which graduate education is organized and the advantages and disadvantages of each.

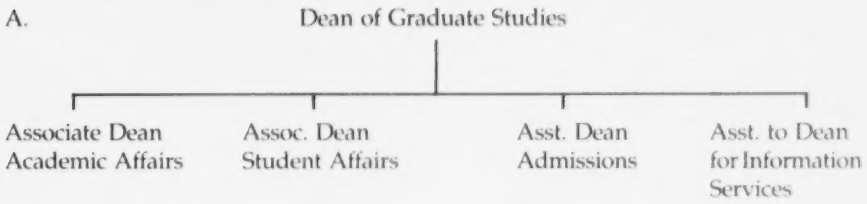
The chief officer for graduate education plays a critical role in every institution. He or she focuses on advanced study, helping to create a community of scholars and setting a standard of excellence which transcends the perspective of any one discipline. He or she may have any one of many different titles, have a variety of responsibilities, and organize the graduate office in many different ways. But there is room in graduate education for this variety, so long as whatever structure is chosen effectively promotes quality and academic excellence. This document describes some of the most effective structures and functions for ensuring that quality and excellence are achieved.

Appendix A
Sample Organizational Charts: The University



Appendix B
Sample Organizational Charts: The Graduate School

A.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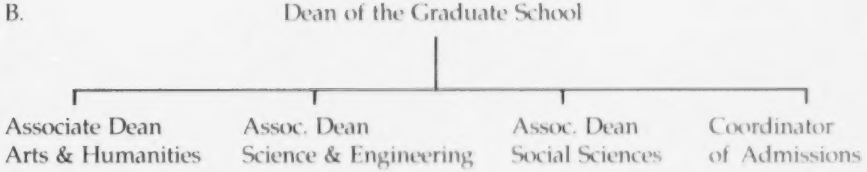
Associate Dean Academic Affairs
Assoc. Dean Student Affairs
Asst. Dean Admissions
Asst. to Dean for Information Services

B.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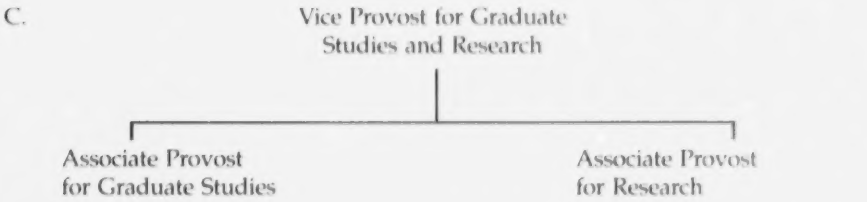
Associate Dean Arts & Humanities
Assoc. Dean Science & Engineering
Assoc. Dean Social Sciences
Coordinator of Admissions

C.


Vice Provost for Graduate Studies and Research
Associate Provost for Graduate Studies
Associate Provost for Research

Appendix C

Scope of Responsibility of Graduate Schools (by degree programs)

Graduate schools vary significantly in the scope of their responsibility for post-baccalaureate degree programs; some have responsibility for degrees in arts and sciences disciplines only, while others have responsibility for all post-baccalaureate degrees at the institution. The majority of graduate schools fall somewhere in between. The chart below describes the range of responsibility possible, from least inclusive to most inclusive. There is, of course, no single recommended model; the responsibility of any given graduate school should be determined by the institution, taking into consideration its history, organizational structure, and mission. In those cases where the graduate dean does not have direct academic responsibility for professional degrees, however, he or she should have indirect responsibility through the graduate council or vice president for academic affairs.

	Master's Degrees	*Doctoral Degrees*
Least Inclusive	Academic master's (M.A./M.S.) in the arts and sciences	Research doctorates (Ph.D.) in the arts and sciences
	Academic master's (M.A./M.S.) in professional schools	Research doctorates (Ph.D.) in professional schools
	Some professional master's (e.g., M.S.W., M.P.A., M.F.A.)	Some professional doctorates (e.g., Ed.D., D.P.A., D.V.M.)
Most Inclusive	All professional master's (including M.B.A., M.Engin.)	All professional doctorates (including J.D., M.D.)

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